JC03 Rec'd PCT/PTO 23 MAR 2005

ATTORNEY'S DOCKET NUMBER FORM PTO-1390 (Modified) REV. 07-2004) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE SO01-P12 TRANSMITTAL LETTER TO THE UNITED STATES U.S. APPLICATION NO. (If known, see 37 CFR 1.5) DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED PCT/GB2003/004088 25 SEPT 2003 25 SEPT 2002 TITLE OF INVENTION POLARISATION-DEPENDENT OPTICAL FIBRE AMPLIFIER APPLICANT(S) FOR DO/EO/US Malcolm Paul VARNHAM, Mikhail Nickolaos ZERVAS and Paul William TURNER Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), 3. \boxtimes (6), (9) and (24) indicated below. The US has been elected (Article 31). 4. \boxtimes 5. \boxtimes A copy of the International Application as filed (35 U.S.C. 371 (c) (2)) is attached hereto (required only if not communicated by the International Bureau). has been communicated by the International Bureau. is not required, as the application was filed in the United States Receiving Office (RO/US). 6. An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). is attached hereto. a. has been previously submitted under 35 U.S.C. 154(d)(4). b. 7. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) are attached hereto (required only if not communicated by the International Bureau). b. have been communicated by the International Bureau. have not been made; however, the time limit for making such amendments has NOT expired. have not been made and will not be made. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 8. 9. An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). 10. An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)). \boxtimes A copy of the International Preliminary Examination Report (PCT/IPEA/409). 11. \boxtimes 12. A copy of the International Search Report (PCT/ISA/210). Items 13 to 23 below concern document(s) or information included: \boxtimes 13. An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 14. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. \boxtimes 15. A FIRST preliminary amendment. 16. A SECOND or SUBSEQUENT preliminary amendment. 17. A substitute specification. 18. A power of attorney and/or change of address letter. 19. A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825. 20. A second copy of the published International Application under 35 U.S.C. 154(d)(4). 21. A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4). \boxtimes 22 Express Mail Label No. ED 271797507 US \boxtimes 23. Other items or information:

Return Receipt Postcard; Certificate of Express Mailing; Check for \$450

JC14 Rec'd PCT/PTO 23 MAR 2005

U.S. APPLICATION N	(if known, see 37 CFR=1.5)	INTERNATIONAL APPLICATION NO. PCT/GB2003/004088			ATTORNEY'S DOCKET NUMBER SO01-P12			
24. The following fees are submitted:.					CULATIONS	PTO USE ONLY		
BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :								
⊠ Basic Na	tional Stage Fee .		\$300.0C					
		search report prep	ared . \$400.00					
□ National	Stage Examination							
situatio .	ns		. \$200.00					
	ENTER APPROPRI	\$9	00.00					
Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					\$0.00			
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE					
Total claims	20 - 20 =	0	x \$18.00 x \$88.00	ļ	\$0.00 \$0.00	 .		
Independent claims	3 - 3 = Claims (check if applicable).	0	300.00	 -	\$0.00	<u></u>		
Multiple Dependent C		ABOVE CALCULAT		\$9	00.00			
Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are								
reduced by 1/2.	·	,		\$4	50.00			
		SUB	ΓΟΤΑL =	\$4	50.00			
Processing fee of \$130.00 for furnishing the English translation later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(f)).					\$0.00			
TOTAL NATIONAL FEE =					150.00			
Fee for recording the englaced assignment (27 CED 1 21(b)). The assignment must be					130.00			
					\$0.00			
		TOTAL FEES ENCL	OSED =		150.00 Int to be:	<u></u>		
	•			re	efunded	\$ \$		
					harged	Φ		
∙b. ☐ Please	Please charge my Deposit Account No in the amount of to cover the above fees.							
	c. The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No.							
	_	l. WARNING: Information on t on this form. Provide credit car	-	-				
NOTE: Where an ap 1.137(a) or (b)) must	opropriate time limit under 37 be filed and granted to restor	CFR 1.494 or 1.495 has not be the International Application	een met, a petition	on to re	evive (37 CFR	•		
SEND ALL CORRES		P.F.		. 1				
John S. Reid			grs- N					
Reidlaw, L.L.C. SIGNATURE					,			
1926 S. Valleyview Lane Spekrope WA 00212 0127 John S. Reid								
Spokane, WA 99212-0127 NAM			NAME	Е				
			36,369					
			REGISTRATIO	וטא אנ	MBER			
	•		23 MAR 2005	5	-	•		
			DATE					



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTORSHIP	VARNHAM, Malcolm Paul et al.
	n/a
PCT APPLICATION NO	PCT/GB2003/004088
INTERNATIONAL FILING DATE	14 September 2003
ATTORNEY DOCKET NO	SO01-P12
ASSIGNEE	Southampton Photonics Ltd.
	IDENT OPTICAL EIRDE AMPLIEIED

CERTIFICATE OF EXPRESS MAILING

I hereby declare that I have deposited the below-listed papers with the United States Postal Service "Express Mail Post Office to Addressee" service, addressed and posted as indicated below, in compliance with 37 CFR 1.10. The Express Mail label No. has been placed on one or more of the papers listed.

Express Mail Number: <u>ED 271797570 US</u>

Date of Deposit: <u>March 23, 2005</u>

Deposited By:

Delivery to Postal Employee

□ Placed in Drop Box

Addressee: Mail Stop PCT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Listing Of Items Enclosed In Mailing:

- 1. Return Receipt Postcard (1/2, 2/2)
- 2. Check for \$450.00
- 3. Transmittal Letter to the DO/EO/US Concerning Submission under 35 USC 371 (2 pages)
- 4. Certificate of Express Mailing (1 page)
- 5. Preliminary Amendment (7 pages)
- 6. Specification (15 pages, including cover sheet and claims 1-20)
- 7. Drawings (7 sheets, Figs. 1-25)
- 8. Copy of PCT publication WO 2004/030165 A1, corresponding to PCT/GB2003/004088
- 9. Copy of International Preliminary Examination Report (6 pages)
- 10. Information Disclosure Statement (1 page), plus USPTO Form 1449 (1 page), copy of International Search Report (3 pages) and copy of cited references (5 in all)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statement may jeopardize the validity of the application or any patent issued therefrom.

Dated this 23rd day of March, 2005.

Dated at Spokane, Washington

John S. Reid